

UTILITY PATENT APPLICATION TRANSMITTAL

Only for new nonprovisional applications under 37 CFR 1.53(b)

Attorney Docket No. CNF-007

First Named Inventor Fike

Title

MODE CONVERTER INCLUDING TAPERED
WAVEGUIDE FOR OPTICALLY COUPLING
PHOTONIC DEVICES

APPLICATION ELEMENTS

ADDRESS TO: Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

1. ☐ Fee Transmittal Form
2. ☒ Small Entity Status
☒ Applicant claims small entity status
☐ Status established in prior application and is still proper and desired
3. ☒ Specification and Drawings [Total Pages 44]
 - Written Description - (22 pages)
 - Claims - (4 pages)
 - Abstract - (1 page)
 - Sheets of Drawings - (17 sheets)
☐ Formal
☒ Informal
4. ☐ Oath or Declaration [Total Pages]
 a. ☐ Newly executed (original)
 b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
[Note Box 5 below]

ACCOMPANYING APPLICATION PARTS

8. ☐ 37 CFR 3.73(b) Statement (when there is an assignee)
☐ Power of Attorney
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449
☐ Copies of IDS Citations
11. ☐ Preliminary Amendment
☐ Drawings [Total Sheets]
12. ☒ Return Receipt Postcard (specifically itemized)
13. ☐ Certified Copy of Priority Document(s) (if foreign priority claimed)
14. ☐ Nonpublication Request Under 35 U.S.C. 122(b)
15. ☐ CD in duplicate for large table or computer program
16. ☐ Other:

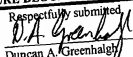
17. ☒ If a CONTINUING APPLICATION: Amend the specification by inserting on page 1, before the first line, the sentence:
 --This is a ☐ continuation ☐ divisional ☒ continuation-in-part of prior application Serial No. 10/099,482, filed on March 15, 2002, the entire disclosure of which is incorporated by reference herein.--
Priority to the above application(s) is claimed under 35 U.S.C. 120.
 Prior application information: Examiner: Group/Art Unit: 2874.
18. ☒ Priority - 35 U.S.C. 119
☒ Priority of provisional applications Serial Nos. 60/298,753 filed on 06/15/01, 60/351,690 filed on 01/25/02, and 60/412,250 filed on 09/20/02 is claimed under 35 U.S.C. 119.
☐ The certified copy has been filed in prior U.S. application Serial No. ____ on ____.
☐ The certified copy will follow.

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SIGNATURE BLOCK

Date: September 19, 2003
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